

TRUSTEES OF THE STATE COLLEGES IN COLORADO
Office of State Colleges

PERFORMANCE PAY IMPLEMENTATION PLAN
April 30, 2002

PREFACE

The Office of State Colleges (OSC) is the system office for the State Colleges in Colorado (SCC). The OSC, at present, has a staff of 10, of which 8 are exempt from the State Personnel System and 2 are classified state employees. The Plan provided below is intended to relate to the performance rating planning, rating and pay for the classified employees. The performance planning, rating, pay for exempt employees is covered by other policies issued by the Trustees of the State Colleges in Colorado.

The OSC aims to have a unified performance management and rating system for exempt and classified employees using key performance areas that tie performance to the accomplishment of the OSC goals.

PERFORMANCE MANAGEMENT

Performance Planning

The supervisor and the employee develop jointly a performance plan for the upcoming fiscal year by June 15, based on a discussion between them of the employee's job priorities, continuing activities, and work goals. The performance plan is a work plan, written by the employee in consultation with the supervisor, which lists:

- the employee's anticipated work priorities for the upcoming year and continuing work activities as delineated in the employee's job description or Position Description Questionnaire (PDQ);
- expectations for the employee's contributions to achieving the OSC's goals and objectives; specific training and/or professional development activities that will help the employee meet or exceed the expectations in his or her performance plan, and
- the Core Competencies identified by the State Personnel Director for the employee's position.

Teamwork may be included as a component of an individual employee's performance plan and rating.

Performance Rating

Supervisor and employee meet at least once halfway through the year to formally review and discuss progress to-date and, if necessary, make adjustments to the performance plan. Coaching and feedback will be provided on an ongoing basis.

The employee submits an annual self-assessment to the employee's supervisor by June 15 assessing the employee's performance in the previous 12 months. This self-assessment reflects the employee's view of how he or she contributed to the achievement of OSC's goals and objectives, activities that went as expected, exceeded expectations, or fell below expectations, and demonstration of the Core Competencies for the employee's position.

The supervisor completes a written performance rating by June 30, which identifies the overall level of performance. (See below for the levels.) This rating will be based on, but not limited to, the employee's effectiveness and contributions to the achievement of OSC goals and objectives, demonstration of Core Competencies, and achievement of individual objectives agreed to in the planning process. Input for this rating may include, but is not limited to, the employee's work plan and self-assessment. The rating may incorporate input from individuals inside and outside the OSC who are affected by and have knowledge of the employee's performance.

Before final overall ratings are provided to employees the System Vice Presidents jointly will review all Performance Ratings to ensure reasonableness of ratings and consistency among raters.

Accountability

If a supervisor, including exempt employees, fails to prepare a performance plan or rating in a timely manner, the next level supervisor will do so. If this supervisor does not develop a plan or rating in a timely manner, the next level up in the line of supervision will prepare the plan or rating. Pursuant to Board of Trustees policy (attached), supervisors, including exempt employees, who fail to plan with or evaluate their employees are subject to employment sanctions including, but not limited to, action under CRS 24-50-118 [suspension without pay for not less than one work week].

Default Rating

If an employee is not given a final annual rating by the deadline (June 30), the employee will be awarded a default rating of "proficient" until a non-default rating is issued. The default rating is subject to the internal and external dispute resolution procedures.

All Supervisors, including exempt employees, will have a "factor" in their performance ratings that rates their effectiveness of the performance management of their employees.

Levels of Performance

Four levels of performance will be used:

Level 4 <i>Outstanding</i> :	(consistently exceeds expectations and goals)
Level 3 <i>Above Average</i> :	(occasionally exceeds expectations and goals)
Level 2 <i>Proficient</i> :	(consistently meets expectations and goals)
Level 1 <i>Needs Improvement</i>	(frequently does not meet expectations and goals)

Neither quotas nor a prescribed distribution of levels of performance will be established for the OSC.

PERFORMANCE AWARDS

Employees are eligible for performance awards each year. Performance awards may be base-building or one-time non-base-building awards, or both. The System President, in consultation with the System Vice Presidents, will determine the dollar amount and type of award **ANNUALLY. FOR FISCAL YEAR 2002-2003, ALL PERFORMANCE AWARDS WILL BE NON-BASEBUILDING. no later than July 1, and will communicate the individual increase to OSC agency employees at that time.** Performance awards are effective July 1st. One-time non-base-building awards bonuses will be paid with the July payroll, unless the employee requests different timing. Any unpaid portion of a one-time non-base-building award is due in full when an employee terminates employment with OSC. All performance awards are subject to available funding and no award will be guaranteed. **Any performance awards are made at the sole discretion of the System President so long as these awards are made in a manner that is consistent with the following rules:**

- Level 4 performers whose base pay is below the pay range maximum can be awarded a salary increase (expressed as a percent of base pay) from a number that is greater than zero to the maximum percentage change specified by the State Personnel Director for that year. and higher than the percentage change of any Level 3 performer that year. Amounts of any such award that exceeds the range maximum shall not be base-building.
- Level 3 performers below pay range maximum can be awarded a salary increase from a number that is greater than zero to a percentage **number** that is lower than the percentage number change awarded to any Level 4 performer that year and higher than the percentage number change of any level 2 performer that year. Level 3 performers at or above the pay range maximum are not allowed to be granted a performance pay award under any circumstances. Level **3** performers can earn salary increases up to the range maximum but not beyond.
- Level 2 performers below pay range maximum can be awarded a salary increase from a number greater than zero to a percentage number that is lower than the percentage number change awarded to any Level 3 performer that year. Level 2 performers at or above the pay range maximum are not

allowed to be granted a performance pay award under any circumstances. Level 2 performers can earn salary increases up to the job rate but not beyond.

- Level 1 performers are not eligible for a performance pay award. For such employees, the supervisor shall implement a performance improvement plan or issue a corrective action.

The legislature has stipulated that the cost of the performance pay awards be no more than the cost would be if the anniversary increase system were in place. It will be necessary, therefore, to prorate (annualize) the first year's award (July, 2002) amount given to an individual employee whose anniversary date is some date other than July 1. The exact method for this annualization is contained in the statewide performance pay system report, which is available from the Director of Management Services.

TRAINING

All classified staff and their supervisors shall be trained on this Plan and its implementation. If supervisors wish additional training on specific supervisory and performance management topics, this training will be made available. The training for supervisors will include information about types of non-salary employee performance incentive programs available to Classified State Employees.

DISPUTE RESOLUTION PROCESSES

Internal Process

An employee may request in writing a review by the System President no later than one calendar week following the incidence for which the review is requested. Only issues originally presented in writing shall be considered during the review process. The employee ("Disputant") may have an advisor to assist him or her during the review process.

The review process is open and impartial and allows all parties an opportunity to have issues reviewed objectively. Disputable matters are limited to: (1) the Disputant's own performance plan, including absence of a performance plan; (2) the Disputant's final annual performance rating, or the absence of a final annual performance rating (3) correct application of this Performance Pay Implementation Plan and its policies or processes, including the issuance of a rating that is a default rating; and (4) full payment of a performance award.

The following matters are not disputable: (1) the content of this Performance Pay Implementation Plan, (2) matters related to the funds appropriated or allocated, (3) the employee's progress reviews and interim performance ratings (4) the performance plans, ratings and awards of other employees, (5) the amount of the performance award or whether it is base-building or not, unless the issue involves the correct application of this Plan.

The System President will review the issues presented in writing by the employee. The System President may not substitute his/her judgment for the raters or that rater's supervisor but may if warranted, instruct the raters to (a) correct any misapplication of the Plan, its policies and processes (b) correct errors, (c) reconsider the Disputant's performance plan or rating, or both (d) suggest other appropriate dispute resolution processes such as mediation.

The System President will respond in writing to a request for a review within two weeks of having received the request for review. The raters will make a Final Decision on the dispute and notify the Disputant of such Final Decision in writing within five working days of the System President's response. This written notice will include an explanation of any further review steps that available to the Disputant. (see *External Process* below.)

Raters' Final Decisions relating to (1) the Disputant's performance plan, including absence of a performance plan and (2) the Disputant's performance rating, are not open to further recourse for resolution of the dispute.

External Process

A Disputant who is dissatisfied with the System President's response or the raters' final decision relating to (3) correct application of this Performance Pay Implementation Plan and its policies or processes including the issuance of a rating that is not a default rating; and/or (4) full payment of a performance award, may request a review by the State Personnel Director of the dispute and the Rater's Final Decision. A description of the external review process, which is controlled by the State Personnel Director, will be provided to the Disputant with Raters' Final Decision.

The request and a copy of the original statement of issues, the President's response, and the Raters' Final Decision must be submitted to the State Personnel Director within five working days of notice in writing of the Raters' Final Decision.

Retaliation Prohibited

Retaliation against any person involved in the dispute resolution process is prohibited and, if proven, will be grounds for disciplinary action.

Legal Representation

No party in a dispute has an absolute right to legal representation for this process, but may have an advisor present. The parties are expected to represent and speak for themselves. The definition of "Advisor" will be included in the State Personnel Director's Procedures.

Description of Presses Provided

Each classified state employee and the employee's supervisor will be provided a copy of the dispute resolution process each year.

Disputes related to other matters

Classified state employees have additional dispute resolution procedures that relate to matters other than performance planning, rating, and pay. This Plan is not intended to deal with those other processes in any way.

ANNUAL REPORTING

The OSC will maintain records of performance awards and report this information to the State Personnel Director and the General Assembly as required, including total dollars allocated for performance awards, and amounts awarded for each performance category.

APPENDIX
EVALUATION PROCESS FORMS

**OFFICE OF STATE COLLEGES
Performance Evaluation Process**

Employee Self-Review Worksheet

As an employee, you are encouraged to complete this worksheet. It is designed to help you and your supervisor prepare for your performance evaluation discussion. Give a completed copy of this worksheet to your supervisor at least two days prior to the evaluation discussion and keep a copy for yourself. (Attach separate page(s) as necessary.)

Name: _____ Title: _____

1. Do you have any questions about job performance expectations? What areas are unclear to you, if any?

2. List special contributions you feel you have made to your department for the current evaluation period. (These may include activities, awards, and/or recognitions since your last full evaluation.)

3. List any notable obstacles you encountered in accomplishing your job responsibilities during the last evaluation period, particularly obstacles encountered in attempting to reach the goals you and your supervisor had set. (Include your plan for overcoming any obstacles that you may have met.)

4. What performance standards do you want/need to improve in the next year? How do you intend to achieve these goals?

5. Add any additional information that you wish to have considered in your evaluation.

Signature: _____ Date: _____

THE OFFICE OF STATE COLLEGES
Performance Evaluation Process

Interim Evaluation

Required for each classified employee approximately halfway through evaluation period.

Employee Name: _____ Soc. Sec. #: _____

Employee Classification: _____ Position #: _____

Date of Interim Evaluation Meeting: _____

Summary of Employee's Performance (related to job duties and general performance factors). If employee receives an overall rating of Needs Improvement, the supervisor MUST include specifics as to nature of problem.

Employee's Comments:

Supervisor's Recommendation/Rating:

The employee has met expectations regarding performance and/or conduct during the interim evaluation period.

The employee has NOT met expectations regarding performance and/or conduct during the interim evaluation period.

Supervisor's Signature: _____

Date: _____

I, _____, Agree ___ Disagree ___ with the Recommendation/Rating.
(Employee Signature)

Reviewer's Signature: _____

Date: _____

ATTACH ANY NECESSARY DOCUMENTATION

THE OFFICE OF STATE COLLEGES
Performance Evaluation Process

Performance Evaluation
(For performance planning, performance progress reviews and final performance evaluations)

I.	Identification Section:
Employee Name: _____ SS#: _____ Position No.: _____	
Evaluation Period (for example 7/1/00-6/30/01): _____	
Reason for Evaluation (Circle One): Annual Mid Year Transfer	
Classification: _____	
II.	Agenda:
<i>Performance Planning (for next evaluation year)</i> – to be done with employee:	
<ul style="list-style-type: none">• Review and discuss departmental mission and goals• Review and discuss unit work plan<ul style="list-style-type: none">• Identify and review core competency areas that will be measured and indicate their relative importance for this position• Identify and review any Individual Performance Objectives (IPOs)	
Supervisor Signature: _____ Date: _____	
Employee Signature: _____ Date: _____	
 <i>Performance Progress Review (midyear review)</i> - to be done with employee:	
<ul style="list-style-type: none">• Review and discuss unit work plan• Review and discuss progress toward any IPOs• Review and discuss employee's self-review worksheet• Review and discuss performance along competency areas, including behavior indicators	
Supervisor Signature: _____ Date: _____	
Employee Signature: _____ Date: _____	
 <i>Final Performance Evaluation (annual review)</i> - to be done with employee:	
<ul style="list-style-type: none">• Review and discuss unit work plan• Review and discuss progress toward any IPOs• Review and discuss employee's self-review worksheet<ul style="list-style-type: none">• Review and discuss performance along competency areas, including behavior indicators	
Supervisor Signature: _____ Date: _____	
Reviewer Signature: _____ Date: _____	
I _____ Agree ___ Disagree ___ with the performance rating.	
(Employee Signature)	

III. Uniform Core Competencies: NI=Needs Improvement, P=Proficient, AA=Above Average, O=Outstanding; Refer to the Key to Rating Levels below) Weight must total 100%, **including** weights for individual evaluation factors. (Attach separate pages, as needed.)

Weight (e.g. 10%)	Factor	NI	P	AA	O
	<p>COMMUNICATION:-The degree to which the employee effectively communicates by actively listening and sharing relevant information with co-workers, supervisors and customers so as to anticipate problems and ensure the effectiveness of the Office of State Colleges. Behavior Indicators: (list minimum of 2, below)</p> <p>Comments:</p>				
	<p>INTERPERSONAL SKILLS:-The degree to which the employee interacts effectively with others to establish and maintain smooth working relations. Behavior Indicators: (list minimum of 2, below)</p> <p>Comments:</p>				
	<p>CUSTOMER SERVICE:-The degree to which the employee works effectively with internal/external customers to satisfy service expectations. Behavior Indicators: (list minimum of 2, below)</p> <p>Comments:</p>				
	<p>ACCOUNTABILITY:-The degree to which an employee's work behaviors demonstrate responsible personal and professional conduct, which contributes to the overall goals and objectives of the Office of State Colleges. Behavior Indicators: (list minimum of 2, below)</p> <p>Comments:</p>				
	<p>JOB KNOWLEDGE:-The degree to which the employee is skilled in job-specific knowledge which is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner. Behavior Indicators: (list minimum of 2, below)</p> <p>Comments:</p>				

Weight (e.g. 10%)	Factor	NI	P	AA	O
	<p>SUPERVISION: (For those employees who supervise one or more employees, whether college employee or student) The degree to which employee/supervisor provides supervision, feedback and training for employees; resolves routine personnel issues or problems; uses employee's skills and abilities; and provides timely performance plans and evaluations in accordance with established timelines.</p> <p>Behavior Indicators: (list minimum of 2, below)</p> <ul style="list-style-type: none"> Provides timely performance plans and evaluations <p>Comments:</p>				

IV. Individual Performance Objectives (IPOs): Use goals/objectives for the evaluation period which were previously agreed upon by employee and supervisor. (NI=Needs Improvement, P=Proficient, AA=Above Average, O=Outstanding; Refer to the Key to Rating Levels) Weight must total 100%, including Standard Evaluation Factors. (Attach separate pages, as needed)

Weight	Goals/Objectives	NI	P	AA	O

Key to rating levels:

Needs Improvement (Level 1): Frequently does not meet expectations and goals

Proficient (Level 2): Consistently meets expectations and goals

Above Average (Level 3): Occasionally exceeds expectations and goals

Outstanding (Level 4): Consistently exceeds expectations and goals This rating level is unique and difficult to achieve because it represents consistently exceptional performance or achievement beyond the regular assignment.

V. SUMMARY: (Supervisor transfers the weight and rating for each component to the table below and selects an overall rating that reflects the dominant trend.)

Item	Weight	Needs Improvement (Level 1)	Proficient (Level 2)	Above Average (Level 3)	Outstanding (Level 4)
Communication					
Interpersonal Skills					
Customer Service					
Accountability					
Job Knowledge					
Supervision (Where applicable)					
Individual Performance Goal 1					
Individual Performance Goal 2					
Individual Performance Goal 3					
Individual Performance Goal 4					
Individual Performance Goal 5					
OVERALL RATING	100%				

Justification: (Required for an overall rating of Needs Improvement or Outstanding, otherwise optional. Attach additional documentation as needed)

Employee Comments (Attach extra pages is needed):

I, _____, Agree Disagree with my Performance Evaluation
(Employee's Signature)

Supervisor's Signature: _____ Date: _____

Reviewer's Signature: _____ Date: _____

**THE OFFICE OF STATE COLLEGES
Performance Evaluation Process**

Performance Improvement Plan

(Required for employees who receive an overall rating of Needs Improvement on yearly evaluation, otherwise optional.)

Employee: _____

Soc.Sec.#: _____

Supervisor: _____

List the Factor(s) that need improvement and the corresponding plan for improvement:

FACTOR	JOB RESPONSIBILITY	PLAN FOR IMPROVEMENT

Support to be provided by Supervisor (i.e. training, equipment, etc.):

Employee Comments:

I _____ Agree Disagree with the plan above.
(Employee Signature)

Supervisor Signature: _____ Date: _____

Reviewer Signature: _____ Date: _____

<p>Follow-up Review: (to be completed within 60-90 days of annual review date)</p> <p>___ Employee has achieved required improvements described above.</p> <p>___ Employee has not achieved the required improvements described above.</p> <p>Follow-up Review Signatures:</p> <p>Employee: _____ Date: _____</p> <p>Supervisor: _____ Date: _____</p>	
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**THE OFFICE OF STATE COLLEGES
Performance Evaluation Process**

Request for Formal Review of Performance Management Issues

Must be submitted to System President within one calendar week of disputed action

Has issue been discussed with immediate supervisor? Yes No
Has an attempt been made to resolve the problem? Yes No

Request for Initial Review

Employee's name: _____ SSN: _____

Reason for Request:

- My performance plan, or lack of a plan. *Attach a brief statement of the facts.*
- My individual performance rating. *Attach a copy of the performance plan, the rating, and a brief statement of the issues and supporting facts.*
- The application/interpretation of the Office of State Colleges Performance Pay Implementation Plan, policies or processes to my individual plan and/or evaluation. *Attach a copy of the performance plan and/or rating and a brief statement of the plan, policy or process that was misapplied and supporting facts.*
 - Full payment of performance award. *Attach a copy of the notice of award, record of payments, and a brief statement of explanation and supporting facts.*

To resolve this issue, I have taken the following actions:

Reason immediate supervisor's answer was unsatisfactory:

I am requesting the following resolution:

—

Employee Signature _____ Date _____

**THE OFFICE OF STATE COLLEGES
Performance Evaluation Process**

Request for External Review

I understand that the action I am disputing must have been raised in the agency's review process. Requests for external review must be filed with the State Personnel Director within five (5) working days from the date of the System President's final decision.

Date of System President's decision on my request for review: _____

Reason for Request:

- Application of the agency's performance management plan, policies or processes to my individual employee plan or evaluation.
- Full payment of a performance award.

Attach a copy of the original review documents, the System President's decision, and a brief statement of explanation and supporting facts. A copy of the request for external review must also be provided to the supervisor and the human resources office.

Employee Signature _____ Date _____

Requests for external review must be filed with the State Personnel Director, 1600 Broadway, Suite 1030, Denver, Colorado 80203